

Docket No.: 199202US2X PCT

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231



ATTORNEYS AT LAW

RE: Application Serial No.: 09/700,729
Applicants: Hideki KINUGAWA, et al.
Filing Date: November 30, 2000
For: SHOVEL
Group Art Unit: 3671
Examiner: PEZZUTO, R.

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OCT 01 2002
GROUP 3600

SIR:

Attached hereto for filing are the following papers:

PETITION UNDER 37 C.F.R. 1.181(a)(3)

Our check in the amount of _____ is attached covering any required fees. In the event any variance exists between the amount enclosed and the Patent Office charges for filing the above-noted documents, including any fees required under 37 C.F.R. 1.136 for any necessary Extension of Time to make the filing of the attached documents timely, please charge or credit the difference to our Deposit Account No. 15-0030. Further, if these papers are not considered timely filed, then a petition is hereby made under 37 C.F.R. 1.136 for the necessary extension of time. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.

Norman F. Oblon
Registration No. 24,618

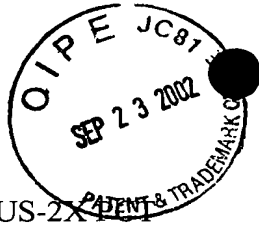
Robert T. Pous
Registration No. 29,099



22850

(703) 413-3000 (phone)
(703) 413-2220 (fax)

199202US-2X



IN THE UNITED STATES PATENT & TRADEMARK OFFICE

IN RE APPLICATION OF :
HIDEKI KINUGAWA ET AL : EXAMINER: PEZZUTO, R. E.
SERIAL NO: 09/700,729 :
FILED: NOVEMBER 30, 2000 : GROUP ART UNIT: 3671
FOR: SHOVEL :

PETITION UNDER 37 C.F.R. §1.181(a)(3)

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

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GROUP 3600

Applicants herein petition the examiner to exercise his supervisory authority to require the examiner to consider and make of record the prior art cited in the International Search Report and the prior art cited in the Information Disclosure Statement filed on July 26, 2002.

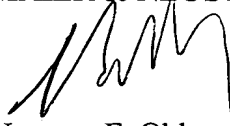
The present application was filed under the PCT. The notification of acceptance of application under 35 U.S.C. §371 (PCT Form 903) indicated that a copy of the International Search Report and copies of the references cited therein had been received by the U.S. PTO in its capacity as a designated office under the PCT (see attached PCT Form 903). In this circumstance, the examiner is required to consider the documents cited in the International Search Report (MPEP 609). There is no indication of record that the prior art cited in the International Search Report has in fact been considered by the examiner. Applicants therefore request that the commissioner exercise his supervisory authority to require the examiner to do so.

An Information Disclosure Statement was filed on July 26, 2002, including the elements required by 37 C.F.R. §1.97(d) (see attached). There is no indication of record that the examiner has considered this prior art, and so Applicants request that the commissioner exercise his supervisory authority to require the examiner to consider and make of record the prior art cited in the Information Disclosure Statement.

No fee is believed to be required for the present petition. However, if any fee is in fact required, the commissioner is authorized to withdraw any necessary fee from the undersigned attorney's deposit account no. 15-0030.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.



Norman F. Oblon
Attorney of Record
Registration No. 24,618
Robert T. Pous
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UNITED STATES DEPARTMENT OF COMMERCE

Patent and Trademark Office.

Address: ASSISTANT COMMISSIONER FOR PATENTS
Washington, D.C. 20231

U.S. APPLICATION NO.	FIRST NAMED APPLICANT	ATTY. DOCKET NO.
09/700729	KINUGAWA	H
OBLON SPIVAK MCCLELLAND MAIER & NEUSTADT FOURTH FLOOR 1755 JEFFERSON DAVIS HIGHWAY ARLINGTON, VA 22202		199202US2XPC INTERNATIONAL APPLICATION NO.
PCT/JP00/02060		
I.A. FILING DATE	PRIORITY DATE	
31 MAR 00	31 MAR 99	

DATE MAILED:

27 DEC 2000

NOTIFICATION OF ACCEPTANCE OF APPLICATION UNDER 35 U.S.C. 371
AND 37 CFR 1.494 OR 1.495

1. The applicant is hereby advised that the United States Patent and Trademark Office in its capacity as ☒ a Designated Office (37 CFR 1.494), ☐ an Elected Office (37 CFR 1.495), has determined that the above identified international application has met the requirements of 35 U.S.C. 371, and is **ACCEPTED** for national patentability examination in the United States Patent and Trademark Office.

2. The United States Application Number assigned to the application is shown above and the relevant dates are:

30 NOV 00
35 U.S.C. 102(e) DATE

30 NOV 00
DATE OF RECEIPT OF
35 U.S.C. 371 REQUIREMENTS

A Filing Receipt (PTO-103X) will be issued for the present application in due course. **THE DATE APPEARING ON THE FILING RECEIPT AS THE "FILING DATE" IS THE DATE ON WHICH THE LAST OF THE 35 U.S.C. 371(C) REQUIREMENTS HAS BEEN RECEIVED IN THE OFFICE. THIS DATE IS SHOWN ABOVE.** The filing date of the above identified application is the international filing date of the international application (Article 11(3) and 35 U.S.C. 363). Once the Filing Receipt has been received, send all correspondence to the Group Art Unit designated thereon.

3. ☒ A request for immediate examination under 35 U.S.C. 371(f) was received on 30 NOV 00 and the application will be examined in turn.

4. The following items have been received:

☒ U.S. Basic National Fee.

☒ Copy of the international application in:

☒ a non-English language.

☐ English.

☒ Translation of the international application into English.

☒ Oath or Declaration of inventor(s) for DO/EO/US.

☐ Copy of Article 19 amendments. ☐ Translation of Article 19 amendments into English.

The Article 19 amendments ☐ have ☐ have not been entered.

☐ The International Preliminary Examination Report in English and its Annexes, if any.

☐ Copy of the Annexes to the International Preliminary Examination Report (IPER).

☐ Translation of Annexes to the IPER into English.

The Annexes ☐ have ☐ have not been entered.

☒ Preliminary amendment(s) filed 30 NOV 00 and _____.

☐ Information Disclosure Statement(s) filed _____ and _____.

☐ Assignment document.

☐ Power of Attorney and/or Change of Address.

☐ Substitute specification filed _____.

☐ Verified Statement Claiming Small Entity Status.

☒ Priority Document.

☒ Copy of the International Search Report ☒ and copies of the references cited therein.

☐ Other:

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DEC 28 2000

OBLON, SPIVAK, MCCLELLAND
MAIER & NEUSTADT, P.C.

RECEIVED IN FOREIGN FILING
DATE: 12/28/00
TIME: _____

Applicant is reminded that any communication to the United States Patent and Trademark Office must be mailed to the address given in the heading and include the U.S. application no. shown above. (37 CFR 1.5)

Vonda M. Wallace

OSMM&N File No. 199202US2X PCT

Dept.: E/M

By: NFO:RTPcfd

Serial No. 09/700.729

In the matter of the Application of: HIDEKI KINUGAWA ET AL

For: SHOVEL

The following has been received in the U.S. Patent Office on the date stamped hereon:

- | | | |
|---|-----------------|---------------------------------|
| <input type="checkbox"/> pp. Specification & | Claims/Drawings | Sheets |
| <input type="checkbox"/> Combined Declaration, Petition & Power of Attorney | | pages |
| <input type="checkbox"/> List of Inventor Names and Addresses | | |
| <input type="checkbox"/> Utility Patent Application | | |
| <input type="checkbox"/> Notice of Priority | | |
| <input checked="" type="checkbox"/> Check for | \$180.00 | |
| <input type="checkbox"/> Fee Transmittal Form | | |
| <input type="checkbox"/> Assignment/PTO 1595 pages: | | |
| <input type="checkbox"/> Letter to Official Draftsman | | |
| <input type="checkbox"/> Letter Requesting Approval of Drawing Changes | | |
| <input type="checkbox"/> Drawings | sheets | <input type="checkbox"/> Formal |
| <input type="checkbox"/> Letter (Cover) | | |
| <input type="checkbox"/> Amendment w/marked-up copy | | |
| <input checked="" type="checkbox"/> Information Disclosure Statement | | |
| <input checked="" type="checkbox"/> Cited References (1) | | |
| <input checked="" type="checkbox"/> European Search Report | | |
| <input type="checkbox"/> Statement of Relevancy | | |
| <input type="checkbox"/> IDS/Related/List of Related Cases | | |
| <input type="checkbox"/> Restriction Response | | |
| <input type="checkbox"/> Declaration Under 37 C.F.R. §1.132 | | |
| <input type="checkbox"/> Petition for Extension of Time () | | |
| <input type="checkbox"/> Notice of Appeal | | |
| <input type="checkbox"/> Terminal Disclaimer | | |
| <input type="checkbox"/> Request For Reconsideration | | |
| <input type="checkbox"/> White Advance Serial Number Card | | |
| <input type="checkbox"/> Appeal Brief | | |
| <input type="checkbox"/> Petition Under 37 C.F.R. §1.181(a)(3) | | |
| <input type="checkbox"/> Draft w/Changes | | |
- RCE
☐ Priority Doc ()
☒ Dep. Acct. Order Form
- PTO-1449
- ☐ Cited Pending Applications
☐ Election Response



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GROUP 3600

Due Date: 7-26-02

Docket No. 199202US2X PCT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

IN RE APPLICATION OF: HIDEKI KINUGAWA ET AL

SERIAL NO: 09/700,729

GAU: 3671

FILED: NOVEMBER 30, 2000

EXAMINER: PEZZUTO, R.

FOR: SHOVEL

INFORMATION DISCLOSURE/RELATED CASE STATEMENT UNDER 37 CFR 1.97

ASSISTANT COMMISSIONER FOR PATENTS
WASHINGTON, D.C. 20231

SIR:

Applicant(s) wish to disclose the following information.

REFERENCES

- The applicant(s) wish to make of record the references cited in the European Search Report and listed on the attached form PTO-1449. Copies of the listed references are attached, where required, as are either statements of relevancy or any readily available English translations of pertinent portions of any non-English language references.
- A check is attached in the amount required under 37 CFR §1.17(p).

RELATED CASES

- ☐ Attached is a list of applicant's pending application(s) or issued patent(s) which may be related to the present application. A copy of the patent(s), together with a copy of the claims and drawings of the pending application(s) is attached along with PTO 1449.
- ☐ A check is attached in the amount required under 37 CFR §1.17(p).

CERTIFICATION

- Each item of information contained in this information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this statement.
- ☐ No item of information contained in this information disclosure statement was cited in a communication from a foreign patent office in a counterpart foreign application or, to the knowledge of the undersigned, having made reasonable inquiry, was known to any individual designated in 37 CFR §1.56(c) more than three months prior to the filing of this statement.

DEPOSIT ACCOUNT

- Please charge any additional fees for the papers being filed herewith and for which no check is enclosed herewith, or credit any overpayment to deposit account number 15-0030. A duplicate copy of this sheet is enclosed.

Respectfully submitted,

OBLON, SPIVAK, McCLELLAND,
MAIER & NEUSTADT, P.C.



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